

Command Policy

UNITED STATES TRANSPORTATION COMMAND (USTRANSCOM) STRATEGIC PLANNING PROCESS AND PROCEDURES

This instruction prescribes the policy and procedures for Strategic Planning within USTRANSCOM. It is applicable to USTRANSCOM, the Transportation Component Commands (TCCs), and Direct Reporting Units (DRUs). Send comments and suggested improvements to this publication on Air Force Form 847, Recommendation for Change of Publication, to USTRANSCOM/TCJ5-SP. The use of a name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by USTRANSCOM.

SUMMARY OF REVISIONS

Changes the publication from a policy directive to an instruction. Updates office symbols throughout to reflect current USTRANSCOM command structure. Increases emphasis on customer needs/inputs. Updates assigned Offices of Primary Responsibility (OPRs)/Offices of Collateral Responsibility (OCRs) for various tasks. Adds new definitions to ensure common understanding of the strategic planning process. Note: Since this instruction has been revised in its entirety, asterisks will not be used to identify revised material.

1. References, Abbreviations, Acronyms, and Terms. References, abbreviations, acronyms, and terms used in this instruction are listed in Attachment 1.

2. General.

2.1. This instruction assigns responsibilities and procedures to produce a fully integrated strategic plan within USTRANSCOM and the TCCs. It describes the USTRANSCOM Strategic Planning Process, defines associated planning documents, standardizes terminology, and guides relationships among participants in the planning process. For the purposes of this instruction, and unless stated otherwise, USTRANSCOM includes the USTRANSCOM Staff, Direct Reporting Elements (DREs), Direct Reporting Units (DRUs), and USTRANSCOM TCCs.

2.2. Strategic planning is the process by which Commander in Chief, USTRANSCOM (USCINCTRANS) and the TCC Commanders envision the organization's future and develop the corresponding strategy (Figure 1). The process will:

2.2.1. Generate customer-focused strategic planning goals and objectives covering a 20-year planning period.

2.2.2. Ensure consistency and continuity of effort through joint USTRANSCOM/ TCC participation during the planning process.

2.2.3. Provide for semiannual In Progress Reviews (IPRs) to assess progress towards achieving the Strategic Planning Goals and Objectives through review of directorate/TCC roadmaps.

2.2.4. Support continuous improvement through systematic validation and/or adjustment of goals and objectives.

2.2.5. Provide a system for validating new initiatives against planned Command direction.

2.2.6. Facilitate Command participation in external processes to include the Planning, Programming, and Budgeting System (PPBS) and the Joint Strategic Planning System (JSPS). Additionally, it will support production of the Joint Monthly Readiness Report (JMRR) and Integrated Priority List (IPL).

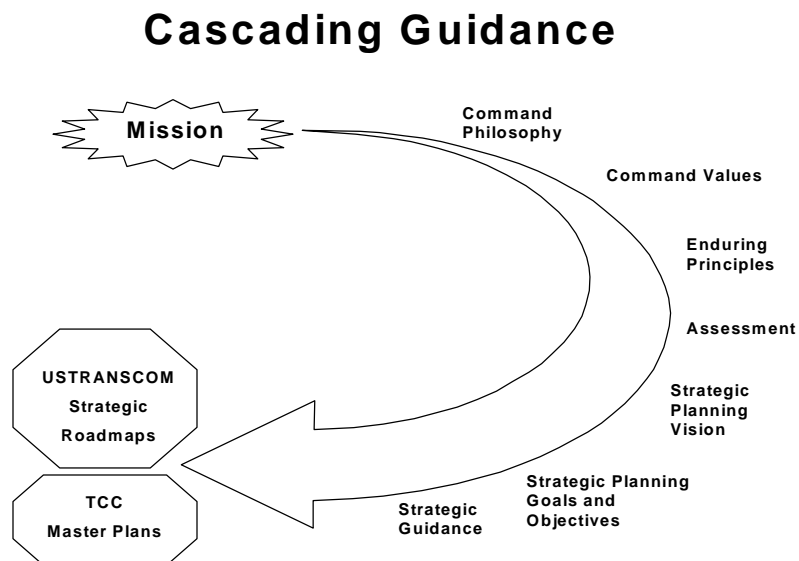


Figure 1

2.3. USTRANSCOM Plans and Policy Directorate (TCJ5) is the OPR for the Strategic Planning Process. The Strategic Planning Process is conducted in odd fiscal years and implemented on a continuous 2-year cycle. TCJ5 will conduct a workshop to review the Strategic Planning Process no later than 60 days prior to the beginning of each planning cycle. All USTRANSCOM staff elements, TCCs, and DRUs will participate. All dates refer to the planning year.

3. Strategic Planning Process. The USTRANSCOM Strategic Planning Process consists of four phases (Figure 2): (I) USCINCTrans Strategic Guidance; (II) USTRANSCOM Strategic Roadmaps; (III) TCC Master Plans; and (IV) Reconciliation, Publication, Implementation, and Process Review.

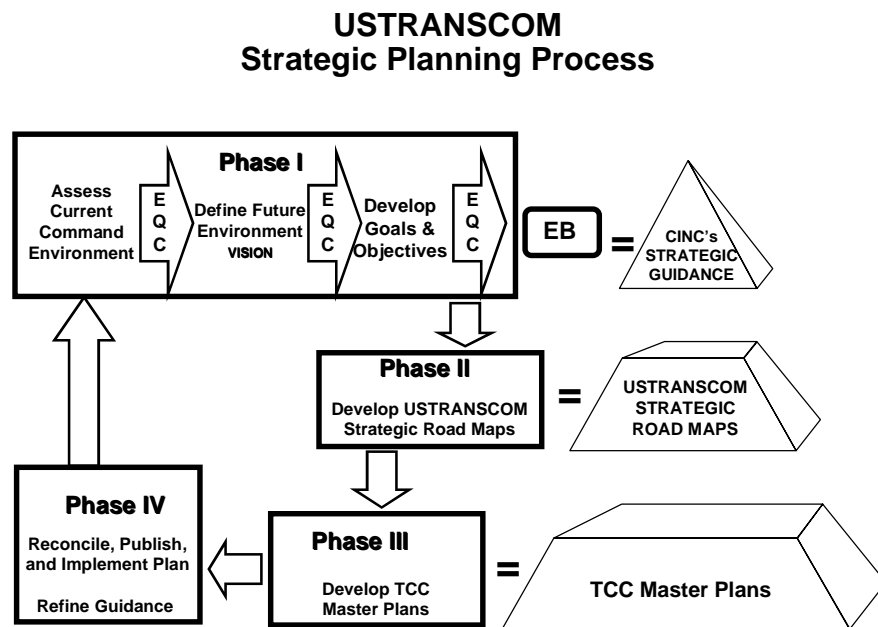


Figure 2

3.1. Phase I: USCINCTrans Strategic Guidance (OPR: TCJ5).

3.1.1. Strategic guidance provides the overarching command philosophy, values, and principles of USTRANSCOM, and provides specific Strategic Planning Vision, Goals, and Objectives for the 20-year planning period. Upon approval by USCINCTrans, the strategic guidance will be released simultaneously to the USTRANSCOM Staff and TCCs as the foundation for their planning effort. It will be published no later than 31 January of each planning year, and consists of the following three elements:

3.1.2. Assessment of Current Environment (OPR: USTRANSCOM Operations and Logistics Directorate (TCJ3/J4)). This comprehensive examination and assessment of the Command environment is provided by an integrated Command Self-Assessment Program. It will be formulated from the following inputs:

3.1.2.1. Command Capabilities Evaluation (OPR: TCJ3/J4). Assessment of the overall capacity and readiness of the Command to perform its mission.

Suspense: 1 November.

3.1.2.2. USTRANSCOM Business Processes. Analysis consisting of USTRANSCOM Staff and TCC directorate-level/functional area assessments. Directorate level and TCC functional area assessments include:

3.1.2.2.1. Operational Planning and Execution (OPR: TCJ3/J4).

3.1.2.2.2. Doctrine, Policy, Strategy, and Strategic Planning (OPR: TCJ5).

3.1.2.2.3. Mission Support, consisting of the following areas:

3.1.2.2.3.1. Manpower and Personnel Management (OPR: USTRANSCOM Manpower and Personnel Directorate (TCJ1)).

3.1.2.2.3.2. Communications and Computer Systems Management (OPR: USTRANSCOM Command, Control, Communications & Computer Systems Directorate (TCJ6)).

3.1.2.2.3.3. Program Analysis and Financial Management (OPR: USTRANSCOM Program Analysis and Financial Management Directorate (TCJ8)).

3.1.2.2.3.4. Medical Support (OPR: USTRANSCOM Command Surgeon (TCSG)).

3.1.2.2.3.5. Legal and Acquisition Support (OPR: USTRANSCOM Chief Counsel (TCJA)).

3.1.2.2.3.6. Intelligence (OPR: USTRANSCOM Intelligence Directorate (TCJ2)).

3.1.2.2.3.7. Quality Deployment and Implementation (OPR: TCCC-Q).

3.1.2.2.3.8. Special Staff Support (OPR: DREs).

3.1.2.2.3.9. Functional Process Improvement (OPR: Joint Transportation Corporate Information Management Center (JTCC)).

3.1.2.3. Internal and External Customer Expectations and Satisfaction (OPR: TCJ3/J4). Consists of mission-based, customer-prioritized requirements and a Command-wide assessment of customer satisfaction. *Suspense: 1 November.*

3.1.2.4. TCJ3/J4 will lead the cross-functional effort to consolidate and assess inputs reflected in paragraphs 3.1.2.1 through 3.1.2.3. The resulting unit self assessment will be completed no later than 1 December. The assessment will describe USTRANSCOM based upon the following Command self assessment criteria:

3.1.2.4.1. Leadership

3.1.2.4.2. Information and Analysis

3.1.2.4.3. Strategic Planning

3.1.2.4.4. Human Resource Development and Management

3.1.2.4.5. Management of Process Quality

3.1.2.4.6. Quality and Operational Results

3.1.2.4.7. Customer Focus and Satisfaction

3.1.2.4.8. Command Mission Capability

3.1.2.5. The Executive Quality Council (EQC) will be briefed on the results of the assessment no later than *15 December.*

3.1.3. Definition of Future Environment (OPR: TCJ5). TCJ5 will lead a cross-functional effort to develop a 20-year projection of conditions affecting the future USTRANSCOM operating environment. This projection will identify potential changes to elements of the Command's Cascading Guidance Concept (Figure 1), and produce USTRANSCOM-specific assumptions for the planning period. TCJ5 will coordinate development of a proposed USCINCTrans Strategic Planning Vision to be forwarded to the EQC for validation no later than *15 December.*

3.1.4. USTRANSCOM Strategic Planning Goals and Objectives (OPR: TCJ5). Following EQC validation of the proposed vision, TCJ5 will convene a cross-functional

working group with representation from each USTRANSCOM directorate, DRE, DRU and TCC. This group will identify shortfalls between the future vision and the current Command assessment to determine changes required in USTRANSCOM and TCC products, processes, organizational structures, and capabilities. From this analysis, the group will derive specific “Strategic Planning Goals and Objectives” for the planning period. Based upon the group’s input, TCJ5 will develop recommended priorities for these objectives. The Strategic Planning Goals and Objectives will be validated by the EQC and forwarded to USCINCTrans Executive Board (EB) for approval no later than *15 January*.

3.2. Phase II: USTRANSCOM Strategic Roadmaps (OPR: All USTRANSCOM Directors, DREs and DRUs).

3.2.1. Strategic roadmaps are concise, 2-3 page summaries (Attachment 2) of the appropriate directorate/DRE/DRU plans for achieving the USTRANSCOM Goals and Objectives established in the USCINCTrans Strategic Guidance. USTRANSCOM strategic roadmaps will be used to amplify the intent of the Commander in Chief’s Strategic Guidance, and integrate the planning processes. They will summarize the strategies for achieving particular USTRANSCOM directorate-level planning goals, and will briefly describe:

3.2.1.1. Directorate-level goal(s) to be achieved.

3.2.1.2. Specific linkages to USCINCTrans Goals and Objectives.

3.2.1.3. Strategy for achieving the directorate-level goal(s).

3.2.1.4. Objectives to achieve the directorate-level goal(s).

3.2.1.5. A matrix produced using the automated data tool, DOORS (see Attachment 2) which contains:

3.2.1.5.1. Tracking Number: Unique number assigned to each objective to allow cross-referencing (Attachment 3).

3.2.1.5.2. Objective.

3.2.1.5.3. OPR: The division or branch primarily responsible for the objective.

3.2.1.5.4. OCR(s): The TCC or staff organization(s) with whom the OPR will work to achieve the stated objective.

3.2.1.5.5. Status: Progress that the OPR has made toward integrating a particular objective into the plans of the OCR(s). Status is listed as either fully coordinated (FC), working coordination (WC), or not coordinated (NC).

3.2.1.5.6. Milestones and completion dates.

3.2.1.5.7. Financial resources required to achieve the goal based on current POM submission.

3.2.2. Strategic roadmaps will be coordinated with TCCs and submitted to TCJ5 for integration into the USTRANSCOM Strategic Plan no later than *1 April*. TCJ5 will publish strategic roadmaps no later than *15 April*.

3.3. Phase III: TCC Master Plans (OPR: TCCs).

3.3.1 TCC Master Plans integrate Service guidance, USCINCTRANS Strategic Guidance, and internal requirements to produce TCC-specific long range plans. Master Plans will include the following elements:

3.3.1.1. TCC Command Values: Articulates those enduring beliefs that each Command espouses. They are to be considered when preparing TCC-specific planning goals and objectives.

3.3.1.2. TCC Capabilities: Consists of assessment of current environment produced for USTRANSCOM (para 3.1.2.) describing capability to perform currently assigned missions.

3.3.1.3. Planning Assumptions: Assumptions will be based on, and compatible with, overarching USTRANSCOM strategic planning assumptions outlined in the Strategic Guidance.

3.3.1.4. TCC Strategic Planning Vision: Articulates the Commander's view of future operations and structure for the Command at the end of the planning period (i.e., the desired future state).

3.3.1.5. TCC Goals/Objectives: Describes desired or necessary activities and identifies required changes to the products, processes, and organizations of the TCC. A strategy for achieving goals will be developed which specifies the objectives to be accomplished. Objectives will be linked to USTRANSCOM Goals and Objectives, and will include assignment of milestones and metrics.

3.3.1.6. TCC Roadmaps: Summaries of tasks which define strategies for achieving a particular TCC Master Plan objective. TCCs will show linkage of their tasks to USTRANSCOM objectives. The document will consist of:

3.3.1.6.1. Goal(s) to be achieved.

3.3.1.6.2. Linkages to USCINCTrans' Strategic Guidance, Goals, and Objectives.

3.3.1.6.3. A brief outline of the strategy for achieving the TCC goal(s).

3.3.1.6.4. Objectives to achieve the goal(s).

3.3.1.6.5. A matrix using Microsoft Excel 5.0 (Attachment 2) which includes as a minimum:

3.3.1.6.5.1. Tracking Number: Unique number assigned to each objective to allow cross-referencing (Attachment 3).

3.3.1.6.5.2. Objective.

3.3.1.6.5.3. OPR: The division or branch primarily responsible for the objective.

3.3.1.6.5.4. OCR(s): The USTRANSCOM staff, TCC staff, or sub-organization(s) with whom the OPR will work to achieve the stated objective.

3.3.1.6.5.5. Status: Progress made by the OPR toward integrating a particular objective into the plans of the OCR(s). Status is listed as either fully coordinated (FC), working coordination (WC), or not coordinated (NC).

3.3.1.6.5.6. Milestones and completion dates.

3.3.1.6.5.7. Financial Resources matrices based on current POM submission. Do not show actual dollar figures. Indicate with an "X" which FY funding is requested for each objective.

3.3.1.7. TCC Master Plans will be submitted to TCJ5 for integration into the USTRANSCOM Strategic Plan no later than 1 August.

3.4. Phase IV: Reconciliation, Publication, Implementation, and Process Review: (OPR: TCJ5).

3.4.1. Reconciliation and Publication: The collection, review, and integration of all components of the Strategic Plan (Strategic Guidance; Strategic roadmaps; TCC Master Plans) into a single document. TCJ5 will ensure all components of the plan are consistent with USCINCTrans' Strategic Guidance. Elements of the Strategic Plan that do not support the Strategic Guidance or that conflict with each other, will be returned for resolution. TCJ5 will attempt to arbitrate all unresolved conflicts; those that cannot be resolved will be presented to USTRANSCOM Deputy Commander in Chief (DCINC) for resolution. The resulting consolidated product will be submitted to USCINCTrans for approval by *1 September* and published no later than *30 September*.

3.4.2. Implementation: Implementation of the USTRANSCOM Strategic Plan will be monitored to ensure Command-wide actions are focused on vision attainment. TCJ5 will chair semiannual In Progress Reviews (IPRs), including USTRANSCOM Staff and TCC participation, to assess progress toward achieving the USTRANSCOM Strategic Planning Goals and Objectives. Each IPR will conclude by outbriefing USCINCTrans and the DCINC on the overall status of implementation. Information will be presented using a computer-generated graphics presentation (i.e., Microsoft Power Point).

3.4.3. Process Review: An After Action Review (AAR) of the planning process, implementing instructions, and supporting regulations will be conducted by TCJ5 within 30 days of Strategic Plan publication. This review will collect comments and recommended changes from all participants in the planning process. TCJ5 will prepare changes to implementing guidance, as required. Changes will be coordinated and forwarded to the DCINC for approval.

4. Responsibilities.

4.1. Strategic Planning is a Command-wide responsibility. The coordination and integration of USTRANSCOM and TCC actions toward a common vision is essential to the Command's long-term success. The following summarizes key strategic planning responsibilities (Figure 3):

4.1.1. USCINCTrans. Provides the overarching vision and direction (strategic guidance) for the Command.

4.1.2. USTRANSCOM Directors, DREs, and DRUs. Develop directorate-level assessments (para 3.1.2.2.); develop Strategic Roadmaps (para 3.2.) that complement USCINCTrans Strategic Guidance; provide guidance and assistance, as required, in the preparation of TCC Master Plans; brief the status of their Strategic roadmaps at the IPRs.

4.1.3. TCJ3/J4. In addition to actions described in paragraph 4.1.2., TCJ3/J4 integrates the USTRANSCOM Assessment of Current Environment and presents it to

the EQC for use in the strategic planning process and inclusion in the USTRANSCOM Strategic Plan.

4.1.4. TCJ5. In addition to the actions described in paragraph 4.1.2., TCJ5 is Command OPR for strategic planning; oversees the implementation of the Strategic Plan and conducts IPRs; prepares and maintains a description of the future operating environment 20 years from the planning year; produces USTRANSCOM-specific assumptions for the planning period; develops a draft vision of USTRANSCOM, based upon USTRANSCOM-specific assumptions; develops USTRANSCOM Strategic Guidance; reconciles and publishes USTRANSCOM Strategic roadmaps; integrates TCC Master Plans into the USTRANSCOM Strategic Plan; ensures all components of the Strategic Plan are mutually supportive; develops and distributes publications as necessary to ensure a Command-wide understanding of the planning process; publishes the USTRANSCOM Strategic Plan; provides training for USTRANSCOM Staff and TCCs on the strategic planning process; maintains an automated plan repository and methodology for conducting strategic planning.

RESPONSIBILITIES/MELESTONES MATRIX

<u>ACTION</u>	TCJ1	TCJ2	TCJ3/4	TCJ5	TCJ6	TCJ8	TCJA	TCSG	DRES	DRUS	JTCC	EQC	EB	AMC	MSC	MTMC	<u>SUSPENSE</u>
Staff & TCC Assessment of Current Environment	X	X	X	X	X	X	X	X	X	X	X			X	X	X	1-Nov
Comm and Assessment of Current Environment			X									X					1-Dec
Define Future Environment/Vision				X								X					15-Dec
Publish Strategic Guidance				X								X	X				31-Jan
Publish USTRANSCOM Strategic Road Maps	X	X	X	X	X	X	X	X	X	X	X						15-Apr
Publish TCC Master Plans														X	X	X	1-Aug
Reconcile and Integrate Plan				X													1-Sep
Publish USTRANSCOM Strategic Plan				X													30-Sep
Implementation	X	X	X	X	X	X	X	X	X	X	X			X	X	X	1-Oct
Review Process				X													1-Nov

Figure 3

22 April 1996

4.1.5. EQC. Reviews USTRANSCOM Assessment of Current Environment; validates Command Philosophy and Enduring Principles; reviews draft Strategic Planning Vision, Goals, and Objectives.

4.1.6. TCCs. Develop component metrics; conduct assessment of current environment in support of the strategic planning process; submit the assessment of current environment to TCJ3/J4; produce TCC Master Plans and roadmaps in support of USTRANSCOM's Strategic Planning Process; participate in the integration, implementation, and review processes; publish and distribute TCC Master Plans.

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3 Attachments

1. Glossary of References, Abbreviations, Acronyms, and Terms
2. USTRANSCOM Strategic Roadmap Format
3. Tracking Number Format

DISTRIBUTION: X (TCCC-P, TCCC-Q, TCIG, TCIM, TCJA, TCPA, TCRC - 1 each; TCJ8, TCSG, GPMRC - 2 each; TCJ2 - 3; TCDC-JS, TCJ1, TCJ6, JTCC - 5 each; TCJ5, TCJ3/J4 - 11 each; HQ AMC/XP, Defense Courier Service/CC, Bldg P-830, Chisholm Ave., Ft. Meade MD 20755-5370, HQ MSC/N002, Washington Navy Yard, Bldg 210, 901 M Street SE, Washington DC 20398-5540, HQ MTMC/MTSB, 5611 Columbia Pike, Falls Church VA 22041-5050 - 12 each).